

COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG) ENTITLEMENT PROGRAM

SUB-RECIPIENT MANDATORY ONLINE TRAINING

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Please note that, at the end of this presentation, you will be required to complete a quiz certifying that you have reviewed all training material.

This quiz will ensure that you understand and comprehend the information provided in this training presentation.

WHO WE ARE...

NEIGHBORHOOD & COMMUNITY DEVELOPMENT (DND)

STAFF NAME

TITLE

JAMES A. ROGERS

DIRECTOR

KIMBERLEY M. PIERCE

ASSISTANT DIRECTOR

MICHELLE S. JOHNSON

DIVISION HEAD

LEILA J. LAROCK

PROGRAM ADMINISTRATOR (CDBG, HOME AND ESG)

KATHLEEN A. BROUGHTON

MANAGEMENT ANALYST I (CDBG, HOME AND ESG)

JULIA G. RICKS

STAFF TECHNICIAN II

MARILYN T. BURRESS

ADMINISTRATIVE ASSISTANT I

HUD ALLOCATIONS

The U.S. Department of Housing and Urban Development (HUD) allocates CDBG, HOME and ESG funds to state, local governments as well as entitlement communities to carry out a wide range of community development activities directed toward revitalizing neighborhoods, economic development, and providing improved community facilities and services.

ROLES AND RESPONSIBILITIES

The Department of Neighborhood Development (DND), HUD Entitlement Unit, administers the City of Norfolk's HUD-funded programs:

- Community Development Block Grant
- HOME Investment Partnership Program
- Emergency Solutions Grant Program

The city cannot reimburse any agency until HUD approves the Annual Plan and agreements are signed by HUD and the city.

WHY DO WE HAVE AGREEMENTS, AND WHAT DOES IT ALL MEAN?

- The city has the responsibility to ensure that CDBG, HOME and ESG funds are used in accordance with federal program requirements.
- Agreements allow the city to enforce compliance with these regulations and requirements. HUD requires written agreements with sub-recipients.
- Agreements detail the obligations of both parties, their responsibilities, performance and outcome measures, applicable regulations, laws and other terms.
- Certificate of Insurance to be provided prior to contract execution for Workmen's Compensation, Commercial General Public Liability, and if necessary, Flood Insurance if the project is located in a flood hazard location.

FEDERAL & STATE REQUIREMENTS

- National Objective
- Citizen Participation
- Fair Housing/ Civil Rights (Section 504 ADA)
- Environmental Review
- Acquisition/ Relocation
- Procurement
- Construction and Contract Management
- Labor Standards
- Grants Management System
- Grant Program Close-Out

CDBG PRIMARY OBJECTIVES

The development of viable communities by the principally benefiting persons of low and moderate income.



NATIONAL OBJECTIVES

Every eligible CDBG-funded activity must meet one of the following National Objectives:

- An activity that benefits low/moderate income persons
- An activity which aids in the prevention or elimination of slum or blighted conditions; or
- Activities having a particular urgency because existing conditions pose a serious and immediate threat to the health or welfare of the community where other financial resources are not available to meet such needs.

CONFLICT OF INTEREST

(24 CFR 570.611; 24 CFR 85.36; and 24 CFR 84.42)

Chapter 6.12 Playing by the Rules

CONFLICT OF INTEREST

All CDBG-funded activities are subject to HUD's Conflict of Interest requirements at 24 CFR Part 570.611, 85.36, and 84.42. These provisions are incorporated into every city CDBG agreement.

It is strongly advised that your organization adopt a Conflict of Interest Policy, and if necessary, amend your Bylaws to incorporate the Conflict of Interest Policy.

The general rule is that no persons who exercise or have exercised any functions or responsibilities with respect to CDBG activities assisted under this part, or who are in a position to participate in a decision making process or gain inside information with regard to such activities, may obtain a financial interest or benefit from a CDBG-assisted activity, or have a financial interest in any contract, subcontract, or agreement with respect to a CDBG-assisted activity, or with respect to the proceeds of the CDBG-assisted activity, either for themselves or those with whom they have business or immediate family ties, during their tenure or for one year thereafter.

CONFLICT OF INTEREST.....[CONTINUED]

The general rule is that *No Persons* who exercise or have exercised any functions or responsibilities with respect to CDBG activities assisted under this part, or who are in a position to participate in a decision making process or gain inside information with regard to such activities:

- May obtain a financial interest or benefit from a CDBG-assisted activity, or
- Have a financial interest in any contract, subcontract, or agreement with respect to a CDBG-assisted activity,
- Or with respect to the proceeds of the CDBG-assisted activity, either for themselves or those with whom they have business or immediate family ties, during their tenure or for one year thereafter.

ENVIRONMENTAL REVIEW RECORD (ERR)

- The National Environmental Act of 1969 (NEPA) applies to every CDBG project.
- NEPA requires an ERR to be completed
- The ERR must consider all project activities regardless of if they are CDBG, HOME and/or ESG locally or privately funded.

ENVIRONMENTAL REVIEW RECORDS (ERR)

- What is an Environmental Review Record?
- Who is responsible for completing an ERR?
- What organizations need to complete an ERR?

ENVIRONMENTAL REVIEW RECORD (ERR)

- There are several levels of ERRs
- The level of review required will depend on the scope of the project activities
- Most ERRs take approximately 60-90 days to complete
- DND will be able to advise you on the level of review your project will require.

ERR LEVELS OF REVIEW

ERRs require that the following items be addressed:

- Historic Preservation
- Site Contamination
- Flood Plains/ Wetlands
- Noise/ Tanks/ Airports
- Farmland Protection
- Coastal Zones

NOTE: HUD – Request Release of Funds – submitted once ALL of the review records are complete.

TYPICAL ENVIRONMENTAL REVIEW PROCESS

- Designate an Environmental Review Officer
- Receive State Historic Preservation Office (SHPO) Clearance
- Determination of Flood Plain/ Wetland Impact
- Complete Environmental Assessment
- Finding of No Significant Impact

FINANCIAL MANAGEMENT

- Internal Controls
- Accounting Records
- Allowable Costs
- Source Documentation
- Budget Controls
- Cash Management
- Financial Reporting

INTERNAL CONTROLS

The soundness of any organization's financial management structure is determined by its system of Internal Controls. "Internal Controls" consist of a combination of:

- ✓ Qualified staff and specified job duties
- ✓ Organization procedures
- ✓ Separation of functions and duties
- ✓ Access to assets, sensitive documents, and records

Combined, these create accountability in an organization's financial system and safeguard its cash, property, and other assets.

See 24 CFR 85.20(b)(3) for additional information.

ACCOUNTING RECORDS

Sub-recipients are required to have accounting records that adequately identify the source and application of CDBG funds.

To meet this requirement, financial accounting system should at least include:

- Chart of Accounts
- General Ledger
- Cash Receipts Journal
- Cash Disbursement Journal
- Payroll Journal

ELIGIBLE COSTS

The standard for determining if an incurred cost is reasonable and allowed, as well as how the cost will be allocated, must be consistent with the federal regulations [OMB Circular A-87 for government agencies and A-122 for non-profits].

According to basic guidelines of these OMB circulars, a cost is allowable under the any of the HUD programs if the expenditure is

- Necessary
- Reasonable
- Directly related to the grant program

SPONSORS MUST KEEP & MAINTAIN A GENERAL ACCOUNTING SYSTEM

- Cost Principals for State and Local Governments (Circular A-87)
- Cost Principals for Non-Profit Organizations (Circular A-122)
- Independent Single Audits (Circular A-133) (Sub-recipients that expend \$500,000 or more of federal funds in a single year must conduct a single audit.
- Records to be maintained for a minimum of four years for Public Service and ten years for Facility/Infrastructure projects after the program has been completed.

CIRCULAR A-87

This circular establishes principles for determining costs for federal awards:

- Carried out through grants
- Cost reimbursement contracts and other agreements
- Local governments federally-recognized Indian Tribal governments

CIRCULAR A-122

This circular establishes principles for determining costs grants, contracts, and other agreements with non-profit organizations.

Non-profit organizations refer to any corporation, trust, association, cooperative, or other organization which:

- Is operated primarily for scientific, educational, service, charitable, or similar purposes in the public interest;
- Is not organized primarily for profit; and
- Uses its net proceeds to maintain, improve, and/or expand its operations.

CIRCULAR A-122[CONTINUED]

For this purpose, the term “non-profit organization” excludes (i) colleges and universities; (ii) hospitals; (iii) state, local, and federally-recognized Indian tribal governments; and (iv) those non-profit organizations which are excluded from coverage of this Circular in accordance with paragraph 5.

SOURCE DOCUMENTATION

All HUD Entitlement recipients must maintain up-to-date files of original source documentation for all financial transactions:

- Receipts
- Invoices
- Cancelled checks or bank statement

See 24 CFR 85.20(b)(6) and 84.21(b)(7)

BUDGET CONTROLS

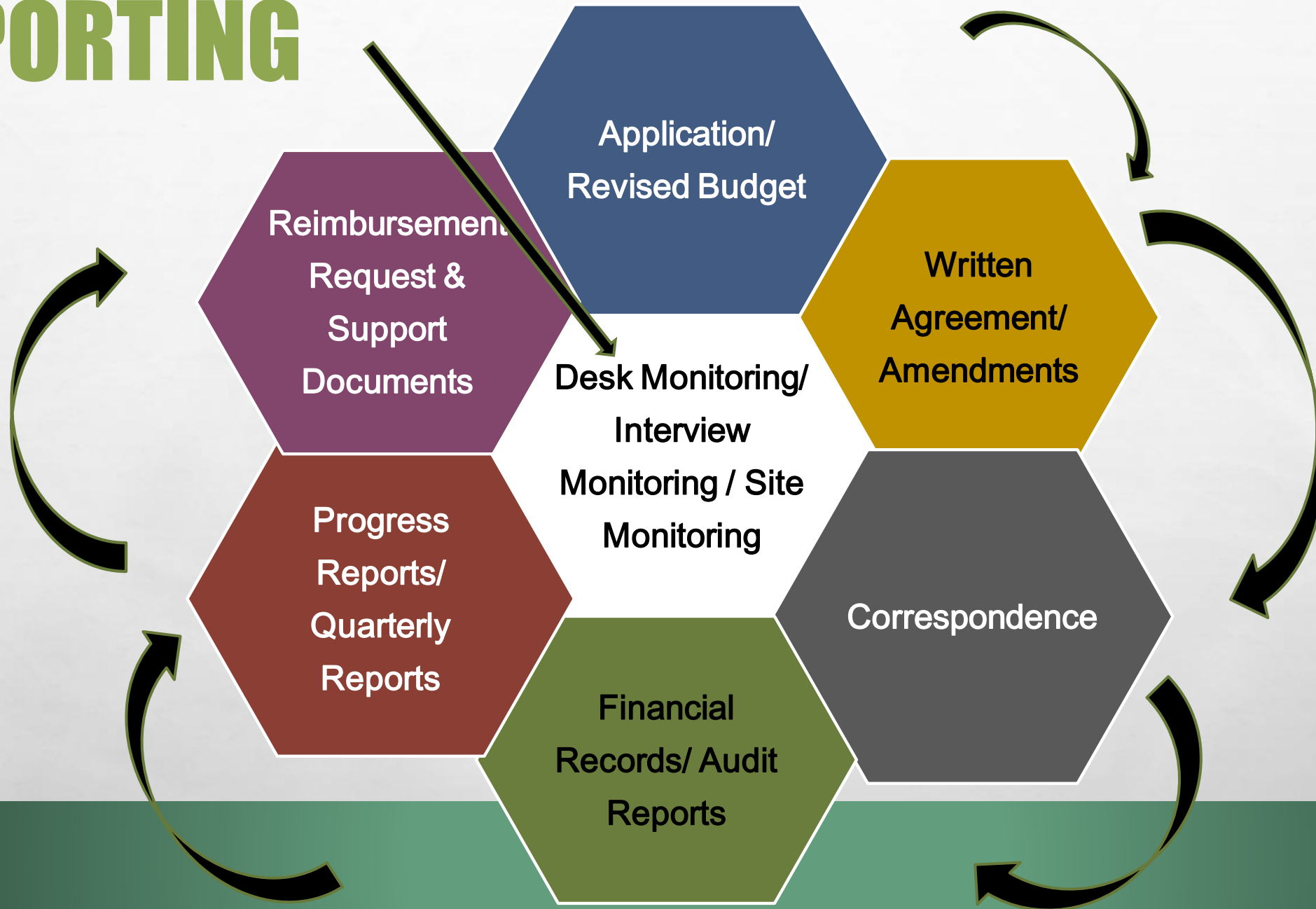
Sub-recipients must have procedures in place to monitor obligations and expenditures including:

- Maintaining an up-to-date approved budget for all funded activities
- Perform a comparison of that budget with actual expenditures
- Compare progress towards achievement of goals with the rate of expenditure of program funds

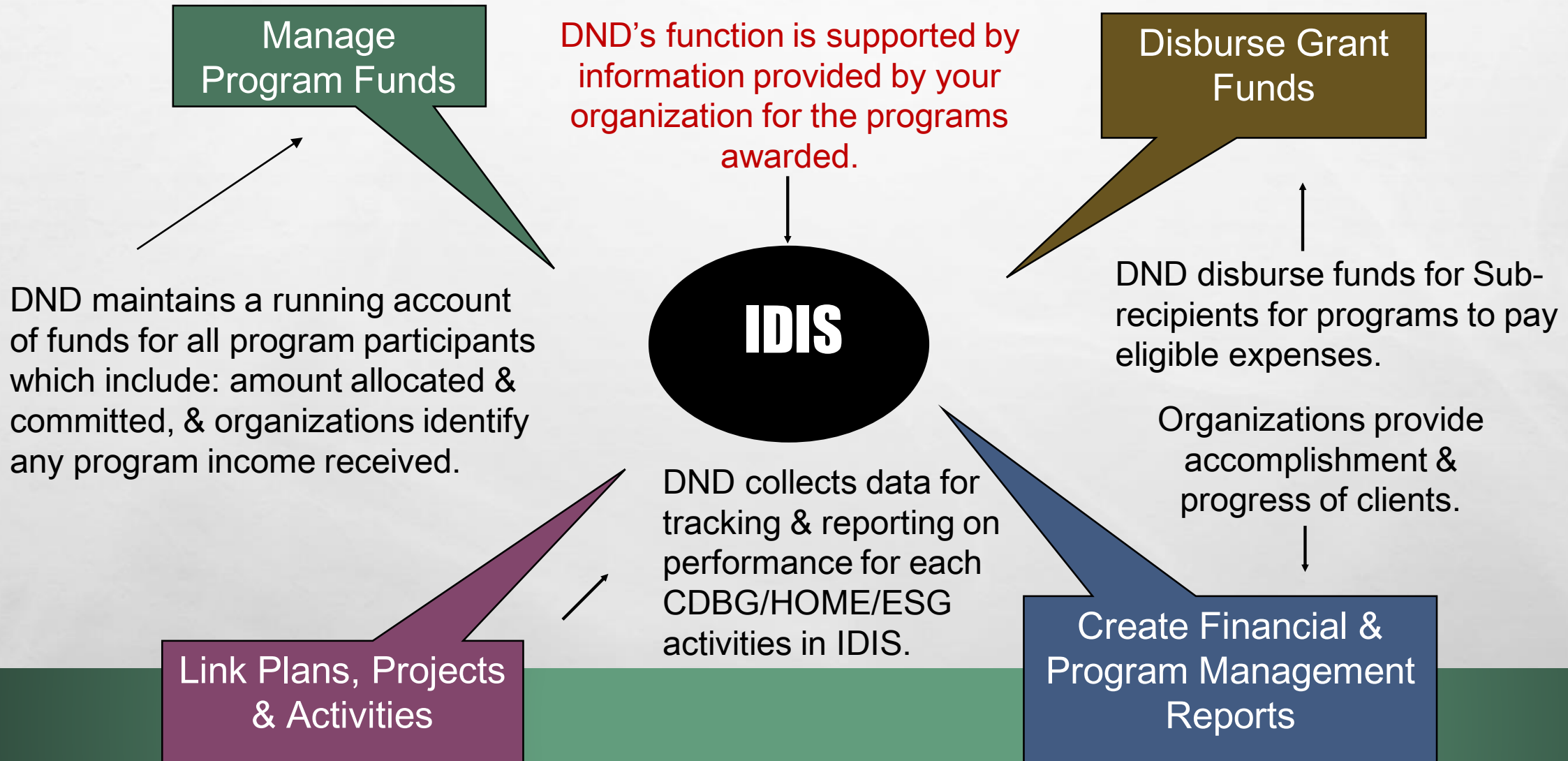
CASH MANAGEMENT

- Sub-recipients are required to have procedures in place to minimize the time elapsed between receipt of funds from the grantee and the actual disbursement of those funds.
- Grantees reimbursement method is based on actual expenditures by the Sub-recipient before the request of payment.
- Sub-recipients must ensure that all CDBG, HOME and ESG funds are used for permitted activities.

REPORTING



PROGRAM REPORTING IN HUD IDIS SYSTEM



FINANCIAL REPORTING

- *Financial Reporting:*

Agency must provide accurate, current, and complete disclosure of the financial results of each sponsored program, which includes actual expenditures billed and unbilled requests.

- *Audits:*

- ❖ When was your organization's last Independent Public Accountant (IPA) audit and what were the results?
- ❖ Does your agency have a copy of the management letter?
- ❖ A-133 Single Audit Act requirements

RECORDKEEPING AND REPORTING

The general CDBG standard for recordkeeping is that records must be accurate, complete, and orderly. Adequate documentation means knowing:

- What information needs to be collected and why
- When that information should be collected and how often
- How the information should be acquired, organized, and stored
- How the information should be reported
- The required retention period for record

Recordkeeping and maintenance of adequate documentation continues to be one of the most serious administrative problems undermining program performance and regulatory compliance.

GENERAL RECORDKEEPING

Every Sub-recipient is required to establish and maintain at least three major categories of records:

1. **Administrative Records** apply to the overall administration of the activities, including the following:
 - Personnel files
 - Property management files
 - General program files-application, agreement, program policies and guidelines, correspondence, and reports
 - Legal files-articles of incorporation, by-laws, tax status, board minutes, contracts, and other agreements

GENERAL RECORDKEEPING..... [CONTINUED]

2. **Financial Records** include chart of accounts, manual on accounting procedures, journals and ledgers, source documentation, procurement files, bank account records, financial reports, audit files.
3. **Project/ case files** include documentation of the activities undertaken.

CDBG PROGRAM RECORDKEEPING

General standard for recordkeeping:

- Specific requirements are established in the Sub-recipient agreement per 24 CFR 570.503(b)(2).
- Sub-recipients maintain records sufficient to:
 - Provide a full description of each activity
 - Demonstrate that each activity meets one of the National Objectives
 - Determine eligibility of certain activities
 - Document compliance with rules regarding any change of use of real property acquired or improved with CDBG assistance
 - Demonstrate compliance with acquisition, displacement, relocation, and replacement housing
 - Detail fair housing and equal opportunity compliance
 - Maintain all necessary information relative to other program requirements

CDBG PROGRAM RECORDKEEPING

Access to Records

- Authorized representatives have the right of access to any pertinent records to make audits, examinations, excerpts, and transcripts (per 24 CFR 85.10(e) or 24 CFR 84.53(e))
- Citizens must be provided with reasonable access to records on the past use of CDBG funds consistent with laws regarding privacy (24 CFR 570.508)

DIRECT BENEFIT REPORTING

- Direct Benefit reporting is often the most challenging compliance issue for CDBG recipients
- This includes services for clients your organization serves
- Presumed Low-Income: Seniors, Severely Disabled Persons, Homeless, and Migrant Farm Workers
- Direct Benefit reporting is now a focus of HUD during monitoring visits
- Acceptable proof of Income is required for client services

DIRECT BENEFIT FORM AND SELF-CERTIFICATION

- **All** CDBG sub-recipients that meet a CDBG program National Objective through Limited Clientele Activities **are** required to provide documentation regarding Direct Benefit, Self-Certification, and Income Verification.
- CDBG recipients that fall into a presumed category or low/moderate income area benefit category are **NOT** required to provide Income Certification/ Verification?

SELF-CERTIFICATION

- Information provided by the client, participant, or beneficiary that reports family income, family size, and ethnicity.
- Parents or legal guardians **must** provide the income self-certification on behalf of children (under 18) participants.

CURRENT INCOME LIMITS

2015 Income Limits Documentation System

Income Limits Summary Effective March 6, 2015

Virginia Beach-Norfolk-Newport News, VA-NC MSA

FY 2015 Income Limit Area	Median Income	FY 2015 Income Limit Category	1 Person	2 Person	3 Person	4 Person	5 Person	6 Person	7 Person	8 Person
City of Norfolk	\$70,900	Extremely Low (30%) Income Limits	\$14,900	\$17,000	\$20,090	\$24,250	\$28,410	\$32,570	\$36,730	\$40,890
		Very Low (50%) Income Limits	\$24,850	\$28,400	\$31,950	\$35,450	\$38,300	\$41,150	\$44,000	\$46,800
		Low (80%) Income Limits	\$39,700	\$45,400	\$51,050	\$56,700	\$61,250	\$65,800	\$70,350	\$74,850

The **Virginia Beach-Norfolk-Newport News, VA-NC MSA** contains the following areas: Currituck County, NC ; Gloucester County, VA ; Isle of Wight County, VA ; James City County, VA ; Mathews County, VA ; Surry County, VA ; York County, VA ; Chesapeake city, VA ; Hampton city, VA ; Newport News city, VA ; Norfolk city, VA ; Poquoson city, VA ; Portsmouth city, VA ; Suffolk city, VA ; Virginia Beach city, VA ; and Williamsburg city, VA .

For details on the calculation steps for each of the various parameters, please click the "Median Income" column heading or the Income Limits row labels ("Very Low-Income (50%) Limits", "Extremely Low-Income (30%) Limits", and "Low-Income (80%) Limits").

VERIFICATION OF INCOME

- All program/ activity participants must be notified that their reported income may be subject to verification.
- Some CDBG recipients routinely verify all participant incomes.
- HUD requires verification of at least ten percent (10%) of all program participants.
- HUD prefers IRS 1040's; however, income calculations using pay stubs and/or benefit statements are acceptable.
- DND staff will review and evaluate CDBG recipients' income verification procedures during monitoring visits.
- CDBG recipients must maintain secure files, ensure confidentiality, and protect participants' privacy.

PROCUREMENT AND CONTRACTING

Federal Regulations governing procurement and contracting using CDBG funds:

24 CFR Part 84 – Non-Profits

24 CFR Part 85 – Government Agencies

CDBG recipients should have written procurement policies and procedures that at a minimum comply with the Federal Procurement regulations.

PROCUREMENT BASICS

The requirements governing the procurement process are intended to ensure the following:

- Free and open competition
- Proper documentation for purchasing, procurement, and contracting activities
- Use of small, women-owned, and minority-owned businesses (SWAM)
- That supplies, equipment, professional services, and construction activities funded with CDBG are obtained efficiently and economically.

PROCUREMENT BASICS.....[CONTINUED]

Proper procurement procedures mitigate restrictive behaviors, including:

- Placing unreasonable qualifying requirements on firms
- Requiring unnecessary experience and excessive bonding
- Specifying only “brand name” products instead of allowing “an equal” product
- Noncompetitive pricing practices between firms and affiliated companies
- Noncompetitive awards to consultants or retainer contracts

SMALL PURCHASE PROCEDURES

- Those relatively simple and informal procurement methods for securing services, supplies, equipment, or other property that does not cost more than \$150,000 in the aggregate.
- Price or rate quotations shall be obtained from an adequate number of qualified sources.
- Record the rate or quote received along with other identifying information (name, address, phone number, website).

SMALL PURCHASE PROCEDURES.....[CONTINUED]

- Follow prudent purchasing procedures and receive competitive telephone, e-mail, or written quotations for all small purchase procurements. In all cases, attempt to obtain price or rate quotations from at least three (3) qualified sources.
- When price quotes are obtained verbally, written supportive documentation such as detailed notes describing telephone contacts (who, what, when, etc.) must be maintained in the files.
- If the CDBG Recipient's established procurement procedures are more restrictive than the federal minimum, the recipient's procedures must be used.

REQUEST FOR QUALIFICATIONS – RFQ'S & RFP'S

- Request for Qualifications (RFQ) and Request for Proposal (RFP) are publicized and all evaluation factors identified
- Proposals must be solicited from an adequate number of qualified sources
- Method of evaluating proposals
- Award of contract based on most qualified bidder and negotiated price/ fee

ARCHITECTURAL AND ENGINEERING SERVICES

- Qualifications-based procurement for professional services
- Selection based on the most qualified respondent
- Compensation is subject to negotiation of fair and reasonable price

LARGE PURCHASE- SEALED BIDDING

- Formal advertising, publicly solicited
- A firm-price contract is awarded
- Preferred method for procuring construction services

USE OF NON-COMPETITIVE PROCEDURES

Goods and Services can be sole sourced when:

- Only available from one source
- Public emergency will not permit delay
- Authorized noncompetitive proposals
- Competition is deemed inadequate

COOPERATING CITIES

Procurement procedures are governed by the policies established through their City Council and must also meet Federal Requirements.

HUD SECTION 3

SECTION 3 ANNUAL REPORT
A1011

Grant Recipient NameContract NumberRpt YearRegion

Economic Opportunities for Low and Very Low-Income Persons

1. Grant Recipient: 2. Contract Number: 3. Report Year: 4. Region:

Contracts Executed During Reporting Year:
Report all contracts executed during the reporting year under this TxCDBG contract that are valued at or above \$2,000.

Non-Construction Contractsincluding professional and administrative services, equipment rentals, and materials providers.					
Business Name	Date Executed	Contract Amount	Section 3 Business	Section 3 Amount	Add A Row
		0	<input type="checkbox"/>	0	Remove
		0	<input type="checkbox"/>	0	Remove
		0		0	

Construction Contractsincluding contracts with a labor component						Add Contractor
Prime (Name):	Date Executed	Construction Contract Amt:	0	Prime Amt:	0	<input type="checkbox"/> Prime Is Section 3
Subcontractor	Date Sub Executed	Contract Amount	Section 3 Business	Add A Row	Rem Contractor	
		0	<input type="checkbox"/>	Remove a Row		
Prime (Name):	Date Executed	Construction Contract Amt:	0	Prime Amt:	0	<input type="checkbox"/> Prime Is Section 3
Subcontractor	Date Sub Executed	Contract Amount	Section 3 Business	Add A Row	Rem Contractor	
		0	<input type="checkbox"/>	Remove a Row		
Prime (Name):	Date Executed	Construction Contract Amt:	0	Prime Amt:	0	<input type="checkbox"/> Prime Is Section 3
Subcontractor	Date Sub Executed	Contract Amount	Section 3 Business	Add A Row	Rem Contractor	
		0	<input type="checkbox"/>	Remove a Row		
Prime (Name):	Date Executed	Construction Contract Amt:	0	Prime Amt:	0	<input type="checkbox"/> Prime Is Section 3
Subcontractor	Date Sub Executed	Contract Amount	Section 3 Business	Add A Row	Rem Contractor	
		0	<input type="checkbox"/>	Remove a Row		

Part I: Employment and Training					
Job Category	Number of New Hires	# of New Hires that are Sec 3 Residents	% of Sec 3	# of Sec 3 Trainees	Add A Row
	0	0	0%	0	Remove A Row
Totals:	0	0	0%	0	

Part II: Contracts Awarded During the Reporting Year

Non-Construction Contracts:

A. Total dollar amount of all non-construction contracts awarded on the project / activity: 0

B. Total dollar amount of non-construction contracts awarded to Section 3 businesses: 0

C. Percentage of the total dollar amount that was awarded to Section 3 businesses: 0%

D. Total number of Section 3 businesses receiving contracts: 0

Construction Contracts:

SECTION 3 ANNUAL REPORT
A1011

Grant Recipient NameContract NumberRpt YearRegion

Economic Opportunities for Low and Very Low-Income Persons

A. Total dollar amount of all construction contracts awarded on the project / activity: 0

B. Total dollar amount of contracts awarded to Section 3 businesses: 0

C. Percentage of the total dollar amount that was awarded to Section 3 businesses: 0%

D. Total number of Section 3 businesses receiving contracts: 0

Part III: Summary

Indicate the efforts made to direct the employment and other economic opportunities generated by HUD financial assistance for housing and community development programs, to the greatest extent feasible, toward low-and-very-low income persons, particularly those who are recipients of government assistance for housing. (Check all that apply. At least one response is required.)

- ☐ Attempted to recruit low-income residents through: local advertising media, signs prominently displayed at the project site, Contacts with the community organizations and public or private agencies operating within the metropolitan area (or nonmetropolitan county) in which the Section 3 covered program or project is located, or similar methods.
- ☐ Participated in a HUD program or other program which promotes the training or employment of Section 3 residents.
- ☐ Participated in a HUD program or other program which promotes the award of contracts to business concerns which meet the definition of Section 3 business concerns.
- ☐ Coordinated with Youthbuild Programs administered in the metropolitan area in which the Section 3 covered project is located.
- ☐ Other efforts from Section 3 policy adopted by Grant Recipient:

ECONOMIC OPPORTUNITIES FOR LOW & VERY LOW INCOME PERSONS

- To provide job training, employment, and contracting opportunities to low or very-low income residents and business in connection with CDBG-funded construction projects.
- The purpose of Section 3 is to ensure that employment and other economic opportunities generated by HUD assistance or HUD-assisted projects covered by Section 3 shall to the greatest extent feasible, be directed to low- and very low-income persons, particularly persons who are recipients of HUD assistance for housing (Public Housing Authority, Section 8).
- Section 3 only applied to construction activities over \$100,000.

AFFIRMATIVE ACTION POLICY STATEMENT

It is an established policy to:

- Enlist the support of community agencies, schools, and unions in the recruitment, hiring, and training of low-income persons residing within Section 3 project areas.
- Ensure that project areas businesses are afforded a maximum feasible opportunity to bid on contracts.
- Ensure that contractors understand and comply with their obligations under the Act.
- Monitor and evaluate the effectiveness with which the plan is being carried out. All contractors and sub-contractors are expected to demonstrate support and cooperation in the implementation of this program.

REIMBURSEMENT

Upon receiving formal notification to incur costs and to receive timely reimbursements, the following steps should be taken:

Submit claims regularly

- Requests signed by recipient's authorized personnel
- Project name
- File number
- Project sponsor's name
- Amount requested for reimbursement
- Must submit on Agency Letterhead

SUPPORTING DOCUMENTATION

Documentation must be legible and complete. Request for and submitted with reimbursement for the following:

Salaries

- Employee time cards (signed by Supervisor)
- Payroll spreadsheets

Contract Employees

- Copy of detailed contract
- Proof of payment

Construction Contract

- Certified payrolls covering period of request

SUPPORTING DOCUMENTATION

Leases

- Copy of lease with terms
- Proof of payment

General Purchases

- Invoices
- Bill of sale
- Proof of payment (copy of check or warrant)

Shared Costs

- Shared cost breakdowns are approved by DND

Non-Reimbursable Items

- Late charges
- Fines
- Penalties

REIMBURSEMENT REQUEST FORM

SUMMARY REPORT OF EXPENDITURES COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM

Grantee Name: AIDS CARE CENTER FOR EDUCATION & SUPPORT SERVICES (ACCESS) - CHAP-Norfolk

Request Period: 7/1/14

To: 7/31/14

Reim. No.: 1

Fiscal Year: 2015

HUD Activity No.: 4803 AFMS NO.: 3000-32-5841-5307-FY15

Contract No. 25-000013161B

Date: 12/9/14

Ref. No.	Description of Attachments	Category	Budget Amount	Revised Budget Amount	Previous Expended Amount	Current Expended Amount	Balance
	SERVICES	S	\$ 39,529.00	\$ -	\$ -	\$ 2,808.71	\$ 36,720.29
A	HOUSING MANAGER, FINANCE DIRECTOR & GRANTS ADMINISTRATOR	S	\$ 34,954.00	\$ -	\$ -	\$ 2,808.71	\$ 32,145.29
B	OPERATING & SUPPLIES EXPENSES	O	\$ 4,575.00	\$ -	\$ -	\$ -	\$ 4,575.00
TOTALS			\$ 39,529.00	\$ -	\$ -	\$ 2,808.71	\$ 36,720.29

Breakdown of funds available under contract:

Total Contract Amount: \$ 39,529.00
Funds Previously Expended: \$ -
This Request: \$ 2,808.71
Total Funds Expended: \$ 2,808.71
Balance Available For Future Drawdown: \$ 36,720.29
% of Program Funds Expended: 7.1%
% of Program Funds Available: 92.9%

Categories:
O= Operations
S= Services

SUMMARY REPORT OF EXPENDITURES COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM

Grantee Name: AIDS CARE CENTER FOR EDUCATION & SUPPORT SERVICES (ACCESS)

CHAP-Norfolk Program

Reim. No.: 6

HUD Activity No.: 4803

Contract No.: 25-000013161B / AFMS No.: 3000-32-5841-5307-FY15

3/2/15

Ref.No.	Description of Attachments	Budget Amount	Previous Expended Amount	Current Expended Amount	Balance
B	OPERATING & SUPPLIES EXPENSES	\$ 4,575.00	\$ 450.94	\$ -	\$ 4,124.06
	Description	Date	Check No.		
1	Cell Phone - Housing Manager	12/17/14	Electronic Payment		\$ 33.14 \$ 4,090.92
2	Mileage - Housing Manager (Nov'14)	12/19/14	27992		\$ 39.20 \$ 4,051.72
3	Business Cards - Housing Manager	12/8/14	27923		\$ 19.41 \$ 4,032.31
TOTALS		\$ 4,575.00	\$ 450.94	\$ 91.75	\$ 4,032.31

SUB-RECIPIENT VENDOR SET-UP

In order to process a payment for any purchases, DND requires sub-recipients to complete the following:

- A current W-9 form
- Authorization letter from IRS (147-C). In this letter, the IRS confirms your EIN. Contact the IRS at 1-800-829-4933, if you do not have a copy.

HOW TO REPORT ACCOMPLISHMENTS

- Use the current income limits
- Use the current activity reports
- Record *ONLY* unduplicated numbers
- Identify and complete income category
- Identify and complete race category

QUARTERLY ACTIVITY REPORTS

- **At the end – of – each quarter**
 - September
 - December
 - March
 - June(in addition to regular payment submissions)
- **The Activity Report should include:**
 - Project accomplishments
 - Increase or decrease in clientele
 - Describe “why?”
 - Goals set for the next 3 months

ACTIVITY REPORTS/ MONITORING

File No. _____
Project: _____
Sponsor: _____

Note: Check one for the entire year of reporting.

- ☐ Household (Each household is one unit)
☐ Client (Each person is one unit)

CDBG DIRECT BENEFIT ACTIVITY REPORT

No less than 51% of clientele served MUST qualify at L/M income level

Report Compiled by: _____

Phone No: _____

FAX No.: _____

GRANT ALLOCATION

Record ONLY the **UNDUPLICATED** number served.

Categories	IDIS	Jul -	Aug	Sept	Oct	Nov	Dec	Jan -	Feb	Mar	Apr	May	June	Total	Grand Total
Income															
a) # of Extremely Low														0	
b) # of Very Low														0	
c) # of Low														0	
d) # of Non-Low / Moderate (above 80% area MHI)														0	
														Income	0
Single race category															
e) White	11													0	0
f) Black/African Amer.	12													0	0
g) Asian	13													0	0
h) Amer. Indian/Alaskan Native	14													0	0
i) Native Hawaiian/Other Pacific Islander	15													0	0
Multi-race category															
j) Amer. Indian/Alaskan Native & White	16													0	0
k) Asian & White	17													0	0
l) Black/African Amer. & White	18													0	0
m) Amer. Indian/Alaskan Native & Black/African Amer.	19													0	0
n) Hispanic/White														0	
o) Hispanic/Black/African American														0	
p) Hispanic/Asian														0	
q) Hispanic/American Indian/Alaskan Native														0	
r) Hispanic/Native Hawaiian/Other Pacific Islander														0	
s) Hispanic/American Indian/Alaskan Native & White														0	
t) Hispanic/Asian & White														0	
u) Hispanic/Black/African American & White														0	
v) Hispanic/Amer. Indian/Alaskan Native & Black/African Amer.														0	
w) Other (multi-race only)	20														
														Total Number Served	0
Duplicate Units of Service per month															

Instructions: Gray areas for internal use only -- calculations will appear automatically.

When choosing a category, choose ONLY one that best identifies a specific client/family being served.

Calculations: Totals in both categories (income/race) must equal.

Quarterly reports are due at the end of -- Sept., Dec., Mar., and June.

Attach a second sheet for quarterly activity reports.

Reports are to include 3-months of program accomplishments and/or a brief explanation of why goals were not met, and an over-all projection for the next 3-months.

EXPENDITURES -- Total spent YTD from ALL funding sources:

CDBG: _____

Federal (other): _____

State: _____

Local: _____

Private: _____

Fees: _____

Other: _____

TOTAL: 0

COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM YEAR 2014-2015
SELF-CERTIFICATION FOR PRESUMED CLIENTELE

1) CLIENT INFORMATION

Name: _____
(Please Print)

Address
or Mailing Address: _____

City & State: _____ Zip _____

2) CATEGORY: I certify that I am/ my family is/ are eligible under 24 CFR 570.208(a)(2)(i)(A) guidelines:

- Choose One
- | | |
|-------------------------------------|---------------------------------------|
| (A) _____ Senior Citizen (62+) | (E) _____ Homeless Person |
| (B) _____ Severely Disabled Adult * | (F) _____ Illiterate Adults * |
| (C) _____ Abused Child * | (G) _____ Victim of Domestic Violence |
| (D) _____ Migrant Farm Worker | (H) _____ Person Living with AIDS |

* If this certification is being filled out on behalf of a qualifying individual, please indicate so in the certification box below.

3) FAMILY SIZE (check ONLY one): 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐ 6 ☐ 7 ☐ 8 ☐

4) ETHNICITY: (Select ONLY one from the Single-race or Multi-race categories).

Single race category

- | | |
|---|---|
| <input type="checkbox"/> White | <input type="checkbox"/> American Indian/Alaskan Native |
| <input type="checkbox"/> Black/African American | <input type="checkbox"/> Native Hawaiian/Other Pacific Islander |
| <input type="checkbox"/> Asian | |

Multi-race category

- | | |
|--|--|
| <input type="checkbox"/> American Indian/Alaskan Native & White | <input type="checkbox"/> Asian & White |
| <input type="checkbox"/> Black/African American & White | <input type="checkbox"/> Hispanic/White |
| <input type="checkbox"/> Hispanic/Black/African American | <input type="checkbox"/> Hispanic/Asian |
| <input type="checkbox"/> Hispanic/American Indian/Alaskan Native | <input type="checkbox"/> Hispanic/Asian & White |
| <input type="checkbox"/> Hispanic/Native Hawaiian/Other Pacific Islander | <input type="checkbox"/> Hispanic/Black/African American & White |
| <input type="checkbox"/> Hispanic/American Indian/Alaskan Native & White | |
| <input type="checkbox"/> American Indian/Alaskan Native & Black/African American | |
| <input type="checkbox"/> Hispanic/American Indian/Alaskan Native & Black/African American | |
| <input type="checkbox"/> Other Multi-race (ONLY if, non-of-the-above categories identifies you). | |

5) CERTIFICATION:

I, _____ (Signature), on _____ (Date), hereby acknowledge that eligibility for assistance under this CDBG-funded program is based upon my qualification as a person/family meeting the "presumed" category under *24 CFR Part 570.208(a)(2)(i)(A)*. I agree to provide supporting documentation if requested by the County of Riverside or the U.S. Department of Housing and Urban Development (HUD).

* I have completed this certification on behalf of the client named in Section 1 above

(Signature)

(Date)

Presumed means as the term is defined in 24 CFR 570.208(a)(2)(i)(A)

Benefit a clientele who are generally presumed to be principally low and moderate income persons. Activities that exclusively serve a group of persons in any one or a combination of the following categories may be presumed to benefit persons, 51 percent of whom are low-and moderate-income:

- (A) abused children,
- (B) battered spouses,
- (C) elderly persons,
- (D) adults meeting the Bureau of the Census' Current Population Reports definition of "severely disabled,"
- (E) homeless persons,
- (F) illiterate adults,
- (G) persons living with AIDS, and
- (H) migrant farm workers

Homeless means as the term is defined in 42 U.S.C. 11302. "

a. IN GENERAL. - For purposes of this Act, the term "homeless" or "homeless individual or homeless person" includes:

(1) an individual who lacks a fixed, regular, and adequate nighttime residence; and

(2) an individual who has a primary nighttime residence that is:

A) supervised publicly or privately operated shelter designed to provide temporary living accommodations (including welfare hotels, congregate shelters, and transitional housing for the mentally ill);

B) a institution that provides a temporary residence for individuals intended to be institutionalized; or

C) a public or private place not designed for, or ordinarily used as, a regular sleeping accommodations for human beings.

WHAT DOCUMENTS ARE REVIEWED DURING VISITS

1. Individual project files
2. Separate accounting system
3. National objective documentation
4. Procurement procedures
5. Standards for conflict of interest
6. Financial management
7. Records retention
8. Project compliance
9. Progress reports
10. Management capacity

ACTIVITY REPORTS/ MONITORING

- Accurate recordkeeping is crucial to the successful management of CDBG – funded activities.
- Insufficient documentation is likely to lead to monitoring findings, and these findings will be more difficult to resolve if records are missing, inadequate or inaccurate.
- Do not place your CDBG funding status in jeopardy by failing to maintain accurate and sufficient records.

KEY COMPONENTS TO PROJECT FILES

Required Do's:

- ✓ Sub-recipient application
- ✓ Written contractual agreement & revised budget
- ✓ Financial records and audit
- ✓ Correspondence
- ✓ Progress reports (Quarterly)
- ✓ Appropriate income limits
- ✓ Demand for Payment documents
- ✓ Supporting documentation
- ✓ Monitoring reports

Don'ts:

- ✗ Destroy or trash program files until after 5 years after program completion
- ✗ Place program documents not accessible to agency staff
- ✗ Combine any program documents with other years

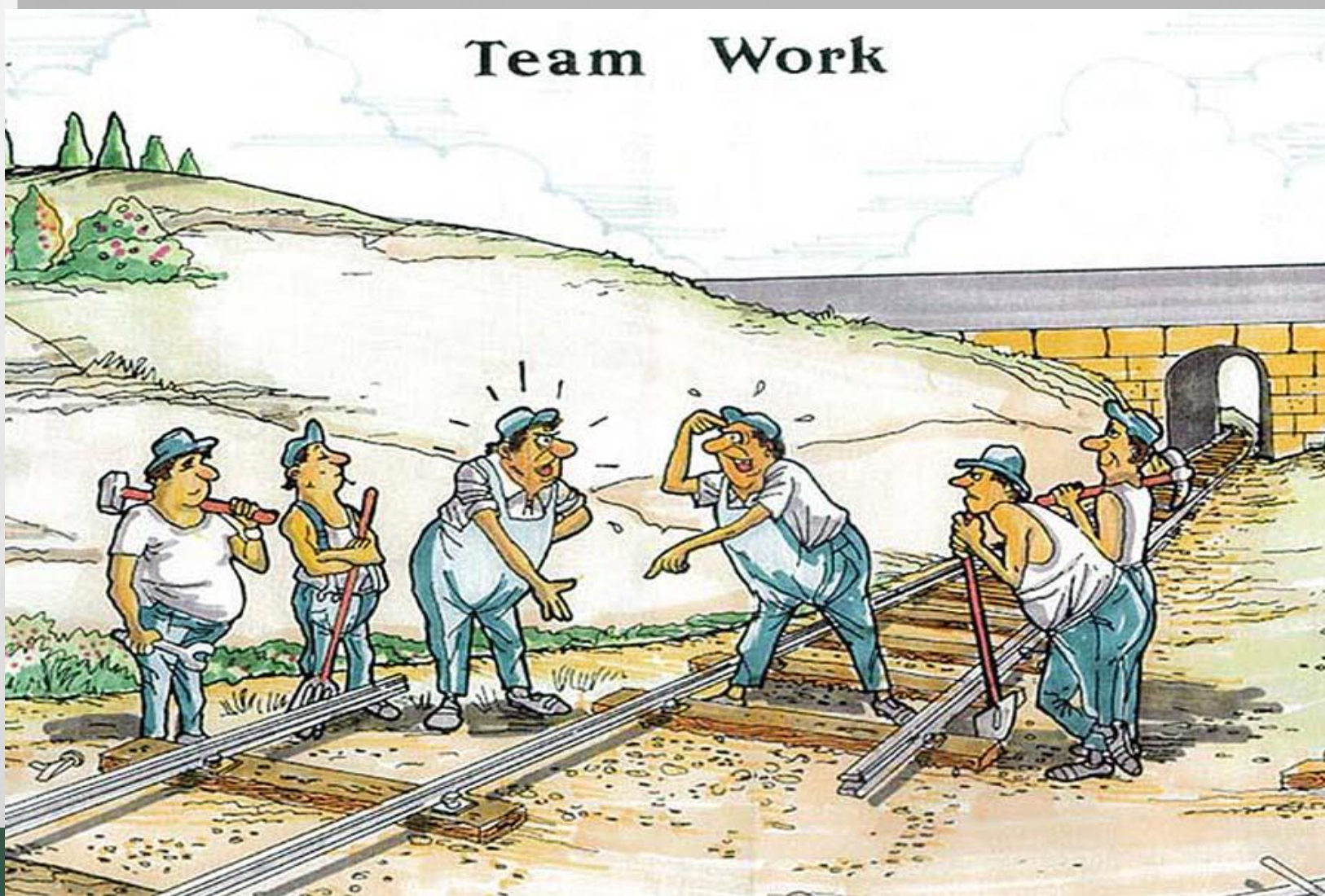
PROGRAM CLOSE - OUT

What happens when your program does not meet the June 30th deadline to complete?

- ✓ Sub-recipient has the responsibility to notify DND if they will be unable to complete the program by June 30th
- ✓ DND will assess and determine if additional time is approved beyond the program year
- ✓ Each request will be decided on a case-by-case basis

TEAM WORK

Team Work



We all must work as a team throughout the program year

NEED ASSISTANCE?

Resources are available on

<https://www.hudexchange.info/cdbg-entitlement/guides/>

Please refer to Basically CDBG for Entitlements or contact your Program Administrator

Leila LaRock, Program Administrator,
757-664-4779,
leila.larock@Norfolk.gov

Kathleen Broughton, Management Analyst I,
757-664-4749,
kathleen.broughton@Norfolk.gov